



## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/725,160
Filing Date	December 1, 2003
First Named Inventor	WU, Lei
Art Unit	To be determined
Examiner Name	To be determined
Attorney Docket Number	ART-00104.P.1.2

Total Number of Pages in This Submission

### ENCLOSURES (Check all that apply)

- ☒ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment/Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation
- ☐ Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance communication to Technology Center (TC)
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):

#### Remarks

1. Form 1449 1a and Form 1449 1b;
2. Copy of references cited on 1449 1b;
3. Postcard

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	David R. Preston Reg. No. 38710
Signature	
Date	March 11, 2004

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name Raymond Wagenknecht

Signature

Date

3/11/04

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Total Number of Pages in This Submission

### ENCLOSURES (Check all that apply)

- |   |  |   |
|---|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br><input type="checkbox"/> Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance communication to Technology Center (TC)<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): |
|---|--|---|

#### Remarks

1. Form 1449 1a and Form 1449 1b;
2. Copy of references cited on 1449 1b;
3. Postcard

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

David R. Preston  
Reg. No. 38,710

Signature

Date

*March 11, 2004*

### CERTIFICATE OF TRANSMISSION/MAILING

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Typed or printed name

Raymond Wagenknecht

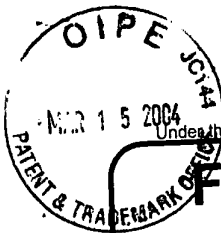
Signature

Date

*3/11/04*

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# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 0.00

## Complete if Known

Application Number	10/725,160
Filing Date	December 1, 2003
First Named Inventor	WU, Lei
Examiner Name	To be determined
Art Unit	To be determined
Attorney Docket No.	ART-00104.P.1.2

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: 501321  
Deposit Account Name: David R. Preston

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 750	2001 375	Utility filing fee	
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$ ) 0.00

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims		-20** =		X		Fee from below		Fee Paid	
Independent Claims		-3** =		X					
Multiple Dependent									

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1202 18	2202 9	Claims in excess of 20	
1201 84	2201 42	Independent claims in excess of 3	
1203 280	2203 140	Multiple dependent claim, if not paid	
1204 84	2204 42	** Reissue independent claims over original patent	
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)			(\$ ) 0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 0.00

## SUBMITTED BY

Name (Print/Type): David R Preston  
Signature: [Signature]

Registration No. (Attorney/Agent): 38,710

Telephone 858-724-0375  
Date: 3/11/04

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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**Patent**

Docket Number: ART-00104.P.1.2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

WU et al.

Application No.: 10/725,160

Filed: December 1, 2003

For: INDIVIDUALLY ADDRESSABLE )  
MICRO-ELECTROMAGNETIC )  
UNIT ARRAY CHIPS IN )  
HORIZONTAL CONFIGURATION )

Examiner: To be determined

Art Unit: To be determined

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313

**INFORMATION DISCLOSURE STATEMENT NO. 1**

Sir:


Applicants respectfully submit an Information Disclosure Statement. This statement is being filed before the mailing of a First Office Action on the merits under 37 C.F.R. §1.97(a). Thus no fee is deemed necessary.

Applicants respectfully submit two (2) Form PTO 1449s, labeled 1a and 1b. Form 1449 1a includes references properly cited in Parent Application No. 09/685,410. Since the present application claims benefit of priority under 35 U.S.C. § 120 to U.S. Application No. 09/685,410, Applicants are not required to submit references cited on Form PTO 1449 1a under 37 CFR §1.98(d). Form 1449 1b lists references not previously submitted by Applicants. Applicants respectfully submit the references cited on Applicants Form PTO 1449 1b.

Please apply any charges not covered, or any credits, to Deposit Account number 501321 in the name of David R. Preston & Associates, having Customer Number 24232.

Respectfully submitted,

Date: March 11, 2004

  
\_\_\_\_\_  
David R. Preston  
Reg. No. 38,710

David R. Preston & Associates, APC  
12625 High Bluff Drive  
Suite 205  
San Diego, CA 92130  
phone: 858.724.0375  
facsimile: 858.724.0384



**INFORMATION DISCLOSURE  
STATEMENT  
BY APPLICANT**

No. 1a  
(Use several sheets if necessary)

Docket Number:  
ART-00104.P.1.2

Application Number:  
10/725,160

Applicant: Wu et al.

Filing Date:  
December 1, 2003

Group Art Unit:  
To be determined

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	P1	4,160,645	7/10/79	Ullman			
	P2	4,275,149	6/23/81	Litman et al.			
	P3	4,318,980	3/9/81	Boguslaski et al.			
	P4	4,777,019	10/11/88	Dandekar			
	P5	4,894,443	1/16/90	Greenfield et al.			
	P6	5,122,227	6/16/92	Ott			
	P7	5,202,231	4/13/93	Drmanac et al.			
	P8	5,225,696	7/6/93	Takaya et al.			
	P9	5,238,810	8/24/93	Fujiwara et al.			
	P10	5,252,493	10/12/93	Fujiwara et al.			
	P11	5,439,586	8/8/95	Richards et al.			
	P12	5,445,934	8/29/95	Fodor et al.			
	P13	5,605,662	2/25/97	Heller et al.			
	P14	5,612,474	3/18/97	Patel			
	P15	5,624,711	04-1997	Sundberg et al.			
	P16	5,632,957	5/27/97	Heller et al.			
	P17	5,653,939	08-1997	Hollis et al.			
	P18	5,655,665	8/12/97	Allen et al.			
	P19	5,779,976	7/14/98	Leland et al.			

Examiner Signature		Date Considered	
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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	P20	5,833,760	11/10/98	Huh et al.			
	P21	5,849,486	12/15/98	Heller et al.			
	P22	5,856,174	1/5/99	Lipshutz et al.			
	P23	5,858,666	01-1999	Weiss			
	P24	5,874,554	2/23/99	Gamble et al.			
	P25	5,883,760	3/16/99	Yamada et al.			
	P26	6,187,164	02-2001	Warren et al.			
	P27						

FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	Translation	
							YES	NO
	F1	94/16101		PCT				
	F2	98/14641		PCT				
	F3	00/54882		PCT				
	F4	02/31505		PCT				
	F5	DE 43 36 417	4/21/94	Germany				X
	F6							

Examiner Signature		Date Considered	
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
EXAMINER INITIALS		CITATION
	D1	Ahn and Allen, IEEE Transactions on Magnets, 30:73-79 (1994)
	D2	Ahn and Allen, Electrochemical Society Proceedings, 95-18:411-425
	D3	Ahn et al., Journal of Microelectromechanical Systems, 5:151-158 (1996)
	D4	Baselt et al, Biosensors & Bioelectronics, 13:731-739 (1998)
	D5	Batra et al., Molecular Immunology, 30:379-386 (1993)
	D6	Blanchard et al., Biosensors & Bioelectronics, 11:687-690 (1996)
	D7	Brown and Hartwell, Nature Genetic, 18:91-93 (1998)
	D8	Chee et al., Science, 274:610-614 (1996)
	D9	Drmanac et al., Nature Biotechnology, 16:54-58 (1998)
	D10	Edelstein et al., Biosensors & Bioelectronics, 14:805-813 (2000)
	D11	Gascoyne et al., IEEE Transactions on Industry Applications, 33:670-678 (1997)
	D12	Huston et al., Proc. Natl. Acad. Sci. USA, 85:5879-5883 (1988)
	D13	Ju et al., Proc. Natl. Acad. Sci. USA, 92:4347-4351 (1995)
	D14	Ladurner and Fersht, J. Mol. Biol., 273:330-337 (1997)
	D15	Liakopoulos et al, TRANSDUCERS '97, pages 485-488 (1997)
	D16	Livache et al, Analytical Biochemistry, 255:188-194 (1998)
	D17	Marton et al, Nature Medicine, 4:1293-1301 (1998)
	D18	Milner et al., Nature Biotechnology, 15:537-541 (1997)
	D19	Newton et al, Biochemistry, 35:545-553 (1996)
	D20	Ruan et al., The Plant Journal, 15:821-833 (1998)
	D21	Schena et al., Science, 270:467-470 (1995)
	D22	Shoemaker et al., Nature Genetics, 14:450-456 (1996)
	D23	Sosnowski et al., Proc. Natl. Acad. Sci. USA, 94:1119-1123 (1997)

Examiner Signature		Date Considered	
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
EXAMINER INITIALS		CITATION
	D24	Sun et al., Cytometry, 33:469-475 (1998)
	D25	Whitlow et al., Protein Engineering, 6:989-995 (1993)
	D26	Wang, D. et al., Science, 280:1077-1082 (1998)
	D27	Wang, X. et al, IEEE Transactions on Industry Applications, 33:660-669 (1997)
	D28	Wodicka et al., Nature Biotechnology, 15:1359-1367 (1997)

Examiner Signature		Date Considered	
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> No. 1b (Use several sheets if necessary)	Docket Number: ART-00104.P.1.2	Application Number: 10/725,160
	Applicant: Wu et al.	
	Filing Date: December 1, 2003	Group Art Unit: To be determined

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	P1	5,252,743	10/1993	Barrett et al.			
	P2	6,051,380	4/2000	Sonsnowski et al			
	P3	6,355,491	3/2002	Zhou et al			
	P3						

FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	Translation	
							YES	NO
	F1	WO 00/33062		PCT				
	F2							

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
EXAMINER INITIALS		CITATION
	D1	Miyabayshi et al., Biotech. Appl. Biochem. 11:379-386 (1989)

Examiner Signature		Date Considered	
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